

	<b>Georgia Technology Authority</b>	
<b>Doc Ref Number:</b>	INT-GC-003-POL	<b>Topical Area:</b> <b>Administration</b>
<b>Document Type:</b>	Internal Policy	<b>Page:</b> 1 of 8
<b>Title:</b>	<b>Records Management Policy</b>	
<b>Effective Date:</b>	2-10-04	<b>Revision Date:</b> Original
<b>POC for Changes:</b>	<b>GTA Records Management Officer</b>	
<b>Synopsis:</b>	To establish and maintain an active and efficient Records Management Program, in compliance with the Georgia Records Act (O.C.G.A. § 50-18-94)	

## PURPOSE

- To provide for procedures for the transfer of Records in accordance with applicable Records Retention Schedules; and
- To designate an agency Records Management Officer.

## SCOPE

Georgia Technology Authority

## POLICY

State agencies are responsible for insuring the legal disposition of agency Records in accordance with instructions contained in official Records Retention Schedules approved by the State Records Committee (O.C.G.A. 50-18-92). The following policy is implemented in compliance with this requirement.

1. There shall be a GTA Records Management Officer who shall establish and coordinate a GTA Records Management Program. The GTA Records Management Officer is responsible for the following activities:
  - a. Working with GTA division/office Records Management Coordinators to ensure that Records Retention Schedules are established for all GTA Records;
  - b. Maintaining GTA's official file of approved Records Retention Schedules;
  - c. Maintaining GTA's official file of "Records Transfer and Receipt" forms;
  - d. Maintaining GTA's official file of "Certificates of Records Destruction";
  - e. Providing ongoing assistance to Records Management Coordinators for issues related to this Records Management Policy;
  - f. Coordinating the annual transfer of Records to the Records Center or to the Georgia Archives in accordance with each division's/office's Retention Schedule; and
  - g. Reviewing and updating applicable standards and policies.

<b>Doc Ref Number:</b>	INT-GC-003-POL	<b>Topical Area:</b> <b>Administration</b>
<b>Document Type:</b>	Internal Policy	<b>Page:</b> 2 of 8
<b>Title:</b>	<b>Records Management Policy</b>	

2. Each GTA division and office director shall appoint a division/office Records Management Coordinator and one alternate staff person who will assist with the Records management process for his/her work unit.
  - a. The Division of Office Director shall ensure that the Performance Management Form (PMF) of the individual appointed as their primary Records Management Coordinator reflects the responsibilities assigned to such role.
  
3. Each GTA division and office Records Management Coordinator is responsible for the following activities:
  - a. Reviewing Secretary of State publications set forth in the **References** section below;
  - b. Creating and updating an annual inventory of the division's or office's Records;
  - c. Developing and maintaining a current Retention Schedule for the division/office Records;
  - d. Working with the GTA Records Management Officer to ensure an orderly annual transfer of GTA Records to the Records Center or to the Georgia Archives in accordance with the division's/office's Retention Schedule; and
  - e. Working with the GTA Records Management Officer to ensure that Records are destroyed in accordance with this Policy.
  
4. Records Retention Schedules shall be established in accordance with this Policy, containing recommended schedules for retention of each type of GTA Record. Recommended Retention Schedules will be submitted to the State Records Committee. The Retention Schedules will include the types of Records maintained by GTA and the length of time each type of Record will be maintained.
  - a. No Records shall be scheduled for permanent retention in an office.
  - b. No Records shall be scheduled for retention any longer than is absolutely necessary in the performance of required functions.
  
5. Records shall be disposed of (i.e., destroyed or given away) in accordance with the applicable Retention Schedule approved by the GTA Records Management Officer.
  - a. The Certificate of Records Destruction (See **Attachment 1**) will be submitted to the GTA Records Management Officer prior to the destruction of any Records. The GTA Records Management Officer will specify the method of destruction and will maintain these Certificates permanently.
  - b. Records to be destroyed will not be placed in recycle bins.
  - c. Confidential Records shall be destroyed in such a manner that they cannot be read, interpreted or reconstructed.
  
6. When Records at the Records Center are scheduled for destruction, the Records Center will notify GTA in writing. The GTA Records Management Officer will notify the respective GTA office or division director of the scheduled destruction and the office or division director will approve the destruction in writing. The GTA Records Management

<b>Doc Ref Number:</b>	INT-GC-003-POL	<b>Topical Area:</b> <b>Administration</b>
<b>Document Type:</b>	Internal Policy	<b>Page:</b> 3 of 8
<b>Title:</b>	<b>Records Management Policy</b>	

Officer shall retain the Records Center's notification that the Records have been destroyed as authorized.

<b>Doc Ref Number:</b>	INT-GC-003-POL	<b>Topical Area:</b> <b>Administration</b>
<b>Document Type:</b>	Internal Policy	<b>Page:</b> 4 of 8
<b>Title:</b>	<b>Records Management Policy</b>	

## PREPARATION OF RECORD RETENTION SCHEDULES

The following table sets forth the responsibilities of the GTA personnel for conducting a Record inventory and preparing Record Retention Schedules.

<b><u>RESPONSIBILITY</u></b>	<b><u>STEP</u></b>
Divisional/Office Records Management Coordinators	<ol style="list-style-type: none"> <li>1. Review Secretary of State publications including <i>Retention Schedules for State Government Records</i>. (See <b>References</b> Section below.)</li> <li>2. Within the workspace of the office or division, identify the location of Records.</li> <li>3. Methodically document all types of Records kept in the division/office. Log findings on the GTA Records Retention Schedule template (See <b>Attachment 2</b>). <b>Those Records identified as permanent in the <i>Retention Schedules for State Government Records</i> MUST be shown as permanent in the Retention Schedule.</b> <ol style="list-style-type: none"> <li>a. Columns 1 and 2 – Indicate the title and description of each Record.</li> <li>b. Column 3 – If the Record is listed in the <i>Retention Schedules for State Government Records</i>, enter a legal citation. Otherwise, leave blank.</li> <li>c. Column 4 – If the Record is listed in the <i>Retention Schedules for State Government Records</i>, enter a retention classification. Otherwise, enter a classification based on the definitions set forth below.</li> <li>d. Column 5 – Enter the time period the Records are to be retained on-site. The determination should be based on the convenience of accessing the Records and the amount of filing space available for storing the Records.</li> <li>e. Columns 6 and 7 – Enter the time period for storing the Records at the Records Center and at the Georgia Archives. It is often desirable to store Records for some period at the Records Center and then to transfer the Records at a later time to the Georgia Archives. Active Records may not be transferred to the Georgia Archives, but Records should not be kept at the Records Center beyond the period that they are expected to be referenced.</li> </ol> <p>The choice between storing records at the Records Center and at the Georgia Archives depends on the extent to which access to the Records is needed. The distinctions are:</p> </li> </ol>

<b>Doc Ref Number:</b>	INT-GC-003-POL	<b>Topical Area:</b> <b>Administration</b>
<b>Document Type:</b>	Internal Policy	<b>Page:</b> 5 of 8
<b>Title:</b>	<b>Records Management Policy</b>	

	<table><tr><td></td><td><b>Records Center</b></td><td><b>Georgia Archives</b></td></tr><tr><td><i>Ownership</i></td><td>GTA</td><td>Secretary of State</td></tr><tr><td><i>Ability to remove records</i></td><td>Yes</td><td>No</td></tr><tr><td><i>Ability to copy records</i></td><td>Takes 3-5 days to a week to receive Records.</td><td>Takes 1-2 weeks to receive Records.</td></tr><tr><td><i>Availability</i></td><td>Always available</td><td>Available during Archives working hours only</td></tr></table>		<b>Records Center</b>	<b>Georgia Archives</b>	<i>Ownership</i>	GTA	Secretary of State	<i>Ability to remove records</i>	Yes	No	<i>Ability to copy records</i>	Takes 3-5 days to a week to receive Records.	Takes 1-2 weeks to receive Records.	<i>Availability</i>	Always available	Available during Archives working hours only
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<i>Ownership</i>	GTA	Secretary of State														
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	<p>f. Column 8 – Calculate the arithmetic sum of values entered in columns 5-7. Ensure that the number of years shown in column 8 is consistent with the classification shown in column 4.</p> <p>g. Columns 9 and 10 – Complete archival instructions and number according to the instructions given in the <i>Record Center Transfer Procedures</i> (see <b>References</b> section below).</p>															
	5. Have completed Retention Schedule approved by division/office director.															
Division/office director	<ol style="list-style-type: none"><li>1. Review and approve Retention Schedule.</li><li>2. Send Retention Schedule to GTA Records Management Officer.</li></ol>															
GTA Records Management Officer	<ol style="list-style-type: none"><li>1. Review Retention Schedules submitted by various divisions and offices for compliance with state law, Secretary of State policies, and GTA internal policy.</li><li>2. Recommend revisions as appropriate and coordinate with affected Records Management Coordinators to have changes made and approved by division/office directors.</li><li>3. Submit Retention Schedules to CIO/Executive Director for approval.</li><li>4. Send approved Retention Schedules to the State Records Committee for approval.</li></ol>															

<b>Doc Ref Number:</b>	INT-GC-003-POL	<b>Topical Area:</b> <b>Administration</b>
<b>Document Type:</b>	Internal Policy	<b>Page:</b> 6 of 8
<b>Title:</b>	<b>Records Management Policy</b>	

## TERMS AND DEFINITIONS

**Georgia Archives** – an establishment maintained by the Department of Archives and History for the preservation of those records and other papers that have been determined to have sufficient historical and other value to warrant their continued preservation by the state.

**Record** – all documents, papers, letters, maps, microfilm, magnetic media or other material, regardless of form or characteristics, generated or received in performance of functions by or on behalf of GTA.

**Records Center** – a facility managed by the Department of Archives and History primarily for the storage and security of records that must be maintained for varying periods of time but need not be retained in GTA's office equipment or space.

**Retention Schedule** – a set of disposition instructions prescribing how long, where, and in what form a Record shall be kept.

**Temporary Records** – those records retained for GTA's daily operations for short periods of time as designated either by law or GTA policy. Short-term Temporary Records include information that needs to be retained less than 15 years. Long-term Temporary Records include information that needs to be retained for 15 years or longer, but which do not need to be retained permanently.

**Transitory Records** – information of a temporary nature that does not meet the requirements for longer retention. Examples of transitory records are: copies of articles and drafts of works in progress after the works are finalized. Transitory records may be disposed of as soon as they have served their intended purpose.

## ATTACHMENTS

**Attachment 1:** Certificate of Records Destruction

**Attachment 2:** GTA Records Retention Schedule (Excel Template) (Not attached)

## REFERENCES

1. State Agencies' Records Management Legal Duties and Liabilities under Georgia Law:  
<http://www.sos.state.ga.us/archives/rms/src/sald.htm>
2. Secretary of State Records Management Home Page:  
<http://www.sos.state.ga.us/archives/rms/grms.htm>
3. Secretary of State Electronic Document Imaging Systems Guidelines  
<http://www.sos.state.ga.us/archives/rms/manuals/edisg.htm>
4. Retention Schedules for State Government Records, Office of Secretary of State:  
<http://www.sos.state.ga.us/archives/rms/grms.htm>
5. State Retention Schedule Database  
<http://www.sos.state.ga.us/archives/web/statesched/>
6. Secretary of State Records Center Information:  
<http://www.sos.state.ga.us/archives/rms/center/rc.htm>
7. State of Georgia: Record Center Transfer Procedures  
<http://www.sos.state.ga.us/archives/rms/center/rctp.htm>

<b>Doc Ref Number:</b>	INT-GC-003-POL	<b>Topical Area:</b> <b>Administration</b>
<b>Document Type:</b>	Internal Policy	<b>Page:</b> 7 of 8
<b>Title:</b>	<b>Records Management Policy</b>	

**ATTACHMENT 1**  
**CERTIFICATE OF RECORDS DESTRUCTION**

**Georgia Technology Authority**

**Address and Telephone Number  
Of Person Completing this Form:**

**Division/Office:**

\_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

RECORDS TITLE	RETENTION CLASSIFICATION	LOCATION	VOLUME OF RECORDS

**DESTRUCTION APPROVALS**

We certify that the records listed above have been retained for the scheduled retention period and no pending or ongoing litigation or investigation involving these records is known to exist.

\_\_\_\_\_  
APPROVING OFFICIAL (PRINT NAME)

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

\_\_\_\_\_  
RECORDS MANAGEMENT OFFICER (PRINT NAME)

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

RECORDS DESTROYED BY:

\_\_\_\_\_  
(PRINT NAME)

\_\_\_\_\_  
SIGNATURE

\_\_\_\_\_  
DATE

<b>Doc Ref Number:</b>	INT-GC-003-POL	<b>Topical Area:</b> <b>Administration</b>
<b>Document Type:</b>	Internal Policy	<b>Page:</b> 8 of 8
<b>Title:</b>	<b>Records Management Policy</b>	

**ATTACHMENT 2:**  
**GTA RECORDS RETENTION SCHEDULE (EXCEL TEMPLATE)**  
**Not Attached.**